

**2016 Risk Assessment Mitigation Phase
Investigation 16-10-016
Workpapers to
Records Management
(Chapter SCG-8-WP)**

January 2017



**2016 Risk Assessment Mitigation Phase
SCG-08-WP
Risk: Records Management (O&M)**

CUE Data Request-1
Response to Q1
Date Received: 12/16/16
Date Responded: 1/13/17

Line No.	Mitigation	Project/Program	Project/Program Description	Status	Recorded (Directs, 2015 \$000)					Forecast Range (Directs, 2015 \$000)						Forecast Methodology
					2011	2012	2013	2014	2015	2017 Low	2017 High	2018 Low	2018 High	2019 Low	2019 High	
1	Administrative	Records Management Group Support	Labor costs from Records Management Group (SDG&E and SoCalGas)	B	\$ 73	\$ 76	\$ 78	\$ 72	\$ 103	\$ 98	\$ 108	\$ 98	\$ 108	\$ 98	\$ 108	Base Year
2		Sempra Energy Records Management Support	Allocation of labor costs from Sempra Energy (e.g. Corporate Center)	B	38	39	39	39	39	37	41	37	41	37	41	Base Year
3		Offsite Records Storage	Costs allocated from Sempra Energy for offsite records storage	B	250	250	250	250	250	238	263	238	263	238	263	Base Year
4		Onsite Records Storage	Costs for onsite records storage	B	109	109	109	109	109	103	114	103	114	103	114	Base Year
5		Periodic Independent Internal Audits of Records Management	Records Management Group performs an internal audit of selected departments annually	B	-	-	-	-	148	37	74	37	74	37	74	Base Year
6		Consultant Support	Third-party consultant to assist in determining best practices	P						50	150	75	225	100	300	Zero-Based
7	Administrative Subtotal				470	473	476	469	649	563	750	588	825	613	900	
8	Training	Biennial Records Management Employee Training	Labor costs for employee training: • Historical: records retention training (40 minutes) • Proposed: operational asset records training (8 hours of annually) for each employee in designated departments, plus annual records retention training	B/P	31	34	37	41	44	574	1,723	574	1,723	574	1,723	Base Year
9	Training Subtotal				31	34	37	41	44	574	1,723	574	1,723	574	1,723	
10	Operational Compliance and Oversight	Support of Employees in Designated Departments to Collect, Enter and Maintain Records Related to Operational Assets	Labor and non-labor costs for employees in designated departments to collect, enter and maintain records related to operational assets	B/P	-	4,915	4,334	3,887	5,572	7,314	8,262	8,263	9,337	9,211	10,412	5-Year Average
11		Centralized Operational Records Management Department	ARMA certified records specialists from each functional area; data analysts; quality control specialists (5 - 15 Full Time Equivalents)	P						150	450	250	750	500	1,500	Zero-Based
12	Operational Compliance and Oversight Subtotal				-	4,915	4,334	3,887	5,572	7,464	8,712	8,513	10,087	9,711	11,912	
13	Information Management Systems	IT Capital Costs	Capital costs for projects that will modernize and enhance the searchability, traceability and digitalization of operational asset records	B/P	-	-	-	-	-	-	-	-	-	-	-	
14		IT O&M Costs	Costs for the ongoing O&M to maintain the systems used to store operational asset records	B	-	10,691	7,939	9,076	5,442	5,362	6,553	5,362	6,553	5,362	6,553	5-Year Average
15	Information Management Systems Subtotal				-	10,691	7,939	9,076	5,442	5,362	6,553	5,362	6,553	5,362	6,553	
16	TOTAL				\$ 502	\$ 16,114	\$ 12,787	\$ 13,473	\$ 11,708	\$ 13,963	\$ 17,738	\$ 15,037	\$ 19,188	\$ 16,260	\$ 21,088	

Notes:

- Baseline (B) and Proposed (P).
- Numbers in risk chapter tables may differ due to rounding.
- The purpose of Risk Assessment Mitigation Phase (RAMP) is not to request funding. Any funding requests will be made in the General Rate Case (GRC). The forecasts for mitigations are not for funding purposes, but are rather to provide a range for the future GRC filing. This range will be refined with supporting testimony in the GRC.

2016 Risk Assessment Mitigation Phase
SCG-08-WP
Risk: Records Management (Capital)

Line No.	Mitigation	Project/Program	Project/Program Description	Status	Recorded (Directs, 2015 \$000)					Forecast Range (Directs, 2015 \$000)								Forecast Methodology
					2011	2012	2013	2014	2015	2017 Low	2017 High	2018 Low	2018 High	2019 Low	2019 High	2017-2019 Low (Sum)	2017-2019 High (Sum)	
1	Administrative	Records Management Group Support	Labor costs from Records Management Group (SDG&E and SoCalGas)	B	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
2		Sempra Energy Records Management Support	Allocation of labor costs from Sempra Energy (e.g. Corporate Center)	B	-	-	-	-	-	-	-	-	-	-	-	-	-	
3		Offsite Records Storage	Costs allocated from Sempra Energy for offsite records storage	B	-	-	-	-	-	-	-	-	-	-	-	-	-	
4		Onsite Records Storage	Costs for onsite records storage	B	-	-	-	-	-	-	-	-	-	-	-	-	-	
5		Periodic Independent Internal Audits of Records Management	Records Management Group performs an internal audit of selected departments annually	B	-	-	-	-	-	-	-	-	-	-	-	-	-	
6		Consultant Support	Third-party consultant to assist in determining best practices	P	-	-	-	-	-	-	-	-	-	-	-	-	-	
7	Administrative Subtotal				-	-	-	-	-	-	-	-	-	-	-	-	-	
8	Training	Biennial Records Management Employee Training	Labor costs for employee training: • Historical: records retention training (40 minutes) • Proposed: operational asset records training (8 hours of annually) for each employee in designated departments, plus annual records retention training	B/P	-	-	-	-	-	-	-	-	-	-	-	-	-	
9	Training Subtotal				-	-	-	-	-	-	-	-	-	-	-	-	-	
10	Operational Compliance and Oversight	Support of Employees in Designated Departments to Collect, Enter and Maintain Records Related to Operational Assets	Labor and non-labor costs for employees in designated departments to collect, enter and maintain records related to operational assets	B/P	-	1,683	2,028	1,547	3,850	4,475	5,220	5,173	6,034	5,872	6,848	15,520	18,103	5-Year Average
11		Centralized Operational Records Management Department	ARMA certified records specialists from each functional area; data analysts; quality control specialists (5 - 15 Full Time Equivalents)	P	-	-	-	-	-	-	-	-	-	-	-	-	-	
12	Operational Compliance and Oversight Subtotal				-	1,683	2,028	1,547	3,850	4,475	5,220	5,173	6,034	5,872	6,848	15,520	18,103	
13	Information Management Systems	IT Capital Costs	Capital costs for projects that will modernize and enhance the searchability, traceability and digitalization of operational asset records	B/P	-	19,848	25,077	5,117	12,855	37,233	45,507	25,628	31,324	18,262	22,320	81,123	99,151	5-Year Average
14		IT O&M Costs	Costs for the ongoing O&M to maintain the systems used to store operational asset records	B	-	-	-	-	-	-	-	-	-	-	-	-	-	
15	Information Management Systems Subtotal				-	19,848	25,077	5,117	12,855	37,233	45,507	25,628	31,324	18,262	22,320	81,123	99,151	
16	TOTAL				\$ -	\$ 21,531	\$ 27,105	\$ 6,664	\$ 16,705	\$ 41,708	\$ 50,727	\$ 30,802	\$ 37,358	\$ 24,134	\$ 29,168	\$ 96,644	\$ 117,254	

Notes:

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